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NEIFELD DOCKET NO.: X2YA0105UPCT-US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:
ANTHONY et al.

: GROUP: 2827

SERIAL NUMBER: 09/647,648

: EXAMINER: Norris

FILED: 11/17/00

TITLE: Component Carrier

37 CFR 1.97 COMBINED ELECTRONIC AND PAPER IDS STATEMENT

In the December 17, 2002 OG Notice, the Office stated that "only a single fee under 37 CFR 1.17(p) will be required under the following conditions: (1) the fee required by 37 CFR 1.17(p) is included with the first electronic submission (since it will normally be processed first); (2) **all subsequent submissions making up the IDS should explicitly state that the fee was included in the earlier submission and request that the one submitted fee be accepted for the second and any subsequent submission;** and (3) all subsequent submissions (electronic or paper) must be received by the Office on the same date as the first electronic submission with which the fee was included."

The applicant submits that the fee was included in the earlier submission filed on the same day as this submission and requests that the one submitted fee be accepted for the second and any subsequent submission.

PTO Firm No: 31518

Respectfully Submitted,

Richard Neifeld

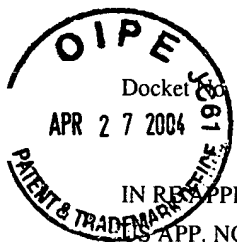
Registration No: 35, 299

Robert G. Crockett

Registration No: 42,448

Attorney of Record

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Printed: April 27, 2004 (11:07pm)



Docket No.

X2YA0105UPCT-US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: ANTHONY et al.

US APP. NO: 09/647,648

GAU: 2827

FILED: 11/17/2000

EXAMINER: Norris

FOR: Component Carrier

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

ASSISTANT COMMISSIONER FOR PATENTS
ALEXANDRIA, VA 22313

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The applicant(s) wish to make of record the references listed on the attached reference citation list. Copies of the listed references are being submitted herewith or, were submitted in the parent or grandparent application, where required, as were either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references, or cited by the examiner. US Patent Publications are being submitted electronically prior to or on the day this paper is filed.

A check is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), including its specification and claims is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

PETITION

- ☐ Applicant(s) hereby request consideration of the attached information. A check is attached in the amount of the Petition fee required under 37 CFR §1.17(i)(1).

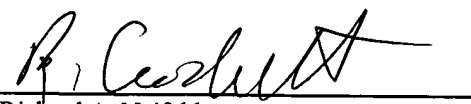
31518

PATENT TRADEMARK OFFICE

Respectfully submitted,

Neifeld IP Law, PC
2001 Jefferson Davis Highway
Suite 1001
Arlington, VA 22202

4/27/2004
Date


Richard A. Neifeld
Registration No. 35,299
Robert G. Crockett
Registration No. 42,448



NEIFELD IP LAW, P.C.
2001 Jefferson Davis Highway
Suite 1001
Arlington, VA 22202

7827
Tel: 703-415-0012
Fax: 703-415-0013
Email: rneifeld@Neifeld.com
Web: www.Neifeld.com

TRANSMITTAL LETTER

ASSISTANT COMMISSIONER FOR PATENTS
ALEXANDRIA, VA 22313

RE: Attorney Docket No.: X2YA0105UPCT-US
Application Serial No.: 09/647,648
Filed: 11/17/2000
Title: Component Carrier
Inventor: ANTHONY et al.
Group Art Unit: 2827
Examiner: Jeremy NORRIS

SIR:

Attached hereto for filing are the following papers:

1. 37 CFR 1.97 Combined Electronic and Paper IDS Statement (1 Page)
2. 37 CFR 1.97 Information Disclosure Statement
3. 37 CFR 1.98 Content of Information Disclosure Statement
4. List of References Cited by Applicant
5. Copies of Reference Citation Lists of Record in Priority Applications: (Lists Numbered 39-48, 96, 97, 109)
6. CD Containing Copies of Every Reference Listed in Attached Reference Citation List; and Copies of Reference Citation Lists numbered 1-109 of record in various priority applications
7. Copy of 37 CFR 1.183 Petition to File a Reduced Set of References (Regarding References cited as F-001 to F-072 and O-001 to O-082) Filed on 4/22/2004 in Application Serial No: 10/237,079, Neifeld Docket No: X2YA0010U/US
8. Copy of Date-Stamped Filing Receipt from 37 CFR 1.183 Petition to File a Reduced Set of References (Regarding References cited as F-001 to F-072 and O-001 to O-082) Filed on 4/22/2004 in Application Serial No: 10/237,079, Neifeld Docket No: X2YA0010U/US

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PATENT TRADEMARK OFFICE

4/27/2004
Date

Robert G. Crockett
Registration No. 42,448

Printed: April 27, 2004 (11:01pm)
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NEIFELD DOCKET NO.: X2YA0105U-PCT-US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Anthony ANTHONY et al.

: GROUP: 2827

SERIAL NUMBER: 09/647,648

: EXAMINER: Norris

FILED: 11/17/2000

TITLE: Component Carrier

37 CFR 1.98 Content of Information Disclosure Statement

I. INTRODUCTION

37 CFR 1.98 reads as follows:

§ 1.98 Content of information disclosure statement.

(a) Any information disclosure statement filed under § 1.97 shall include:

(1) A list of all patents, publications, applications, or other information submitted for consideration by the Office;

(2) A legible copy of:

(i) Each U.S. patent application publication and U.S. and foreign patent;

(ii) Each publication or that portion which caused it to be listed;

(iii) For each cited pending U.S. application, the application specification including the claims, and any drawing of the application, or that portion of the application which caused it to be listed including any claims directed to that portion; and

(iv) All other information or that portion which caused it to be listed; and

(3)(i) A concise explanation of the relevance, as it is presently understood by the individual designated in § 1.56(c) most knowledgeable about the content of the information, of each patent, publication, or other information listed that is not in the English language. The concise explanation may be either separate from applicant's specification or incorporated therein.

(ii) A copy of the translation if a written English-language translation of a non-English-language document, or portion thereof, is within the possession, custody, or control of, or is readily available to any individual designated in § 1.56(c).

(b)(1) Each U.S. patent listed in an information disclosure statement must be identified by inventor, patent number, and issue date.

(2) Each U.S. patent application publication listed in an information disclosure statement shall be identified by applicant, patent application publication number, and publication date.

(3) Each U.S. application listed in an information disclosure statement must be identified by the inventor, application number, and filing date.

(4) Each foreign patent or published foreign patent application listed in an information disclosure statement must be identified by the country or patent office which issued the patent or published the application, an appropriate document number, and the publication date indicated on the patent or published application.

(5) Each publication listed in an information disclosure statement must be identified by publisher, author (if any), title, relevant pages of the publication, date, and place of publication.

(c) When the disclosures of two or more patents or publications listed in an information disclosure statement are substantively cumulative, a copy of one of the patents or publications may be submitted with-out copies of the other patents or publications, provided that it is stated that these other patents or publications are cumulative.

(d) A copy of any patent, publication, pending U.S. application or other information, as specified in paragraph (a) of this section, listed in an information disclosure statement is required to be provided, even if the patent, publication, pending U.S. application or other information was previously submitted to, or cited by, the Office in an earlier application, unless:

(1) The earlier application is properly identified in the information disclosure statement and is relied on for an earlier effective filing date under 35 U.S.C. 120; and

(2) The information disclosure statement submitted in the earlier application complies with paragraphs (a) through (c) of this section. [42 FR 5594, Jan. 28, 1977; para. (a) 48 FR 2712, Jan. 20, 1983, effective date Feb. 27, 1983; 57 FR 2021, Jan. 17, 1992, effective Mar. 16, 1992; revised, 65 FR 54604, Sept. 8, 2000, effective Nov. 7, 2000; paras. (a)(2) and (b) revised, 65 FR 57024, Sept. 20, 2000, effective Nov. 29, 2000]

II. SHOWING OF COMPLIANCE WITH 37 CFR 1.98

The attached IDS complies with rule 1.98 because:

It complies with section (a)(1) by including a list of all patents, publications, applications, or other information submitted for consideration by the Office. *See the reference citation list contained in the IDS filed herewith.*

It complies with section(a)(2) because it contains a legible paper or electronic copy of: (i) Each U.S. patent application publication and U.S. and foreign patent; (ii) Each publication or that portion which caused it to be listed; and (iii) For each cited pending U.S. application, it includes the application specification including the claims, and any drawing of the application, or that portion of the application which caused it to be listed including any claims directed to that portion; and (iv) for all other information which caused it to be listed.

It complies with (a)(3)(i) a concise explanation of the relevance, as it is presently understood by the individual designated in § 1.56(c) most knowledgeable about the content of the information, of each patent, publication, or other information listed **that is not in the English language**. The concise explanation may be either separate from applicant's specification or incorporated therein. Specifically, the IDS includes translations of abstracts and/or the entire contents of certain ones of the non English language patent publications, and the translations are the concise statement.

It complies with (a)(3)(ii) because it includes a copy of the translation if a written English-language translation of a non-English-language document, or portion thereof, is within the possession, custody, or control of, or is readily available to any individual designated in § 1.56(c). The correspondence between non-English patent publications, English translations of abstracts, and full English translations of publications, if any, appears in the chart that begins on the following page.

Non-English Publication Neifeld IDS Reference	English Translation of Abstract Neifeld IDS Reference	Full English Translation of Publications Neifeld IDS Reference
F-001		O-060
F-004	F-070	
F-005		
F-006	F-071	
F-007	O-061	
F-008	O-062	
F-009	O-063	
F-010	O-064	O-065
F-011	O-066	
F-012	O-067	O-068
F-013	O-069	
F-014	O-070	O-071
F-015	O-072	
F-016	O-073	O-074
F-017	O-075	
F-018	O-076	
F-019	O-077	
F-020	O-078	
F-021	O-079	
F-023	O-080	

F-024	F-030	O-081
F-035		F-072
F-051		
F-052	F-066	
F-053	F-067	
F-055	F-068	
F-056	F-069	
F-059	O-082	
F-060		

It complies with (b)(1) because it identifies each U.S. patent listed in the IDS by inventor, patent number, and issue date.

It complies with (b)(2) because it identifies each U.S. patent application publication listed in the IDS by applicant, patent application publication number, and publication date.

It complies with (b)(3) because it identifies each U.S. application listed in an information disclosure statement by the inventor, application number, and filing date.

It complies with (b)(4) because it identifies each foreign patent or published foreign patent application listed in the IDS by the country or patent office which issued the patent or published the application, an appropriate document number, and the publication date indicated on the patent or published application.

It complies with (b)(5) because it identifies each non-patent publication listed in the IDS by publisher, author (if any), title, relevant pages of the publication, date, and place of publication.

It complies with (c) by making no statement.

It complies with (d) by including a copy of any patent, publication, pending U.S. application or other information, as specified in paragraph (a) of this section, listed in the IDS, unless the cited patent, publication, pending U.S. application or other information was previously submitted to, or cited by, the Office in an earlier application and (1) The earlier application is properly identified in the IDS and is relied on for an earlier effective filing date under 35 U.S.C. 120; and (2) The IDS submitted in the earlier application complies with

paragraphs (a) through (c) of this section.

A CD containing image copies of all of the references noted in the attached reference citation list is being filed herewith for the examiner's convenience.

31518

PATENT TRADEMARK OFFICE

Neifeld IP Law, PC
2001 Jefferson Davis Highway
Suite 1001
Arlington, VA 22202

Date

4/23/04

Respectfully Submitted,

Richard A. Neifeld

Registration No. 35,299

Robert G. Crockett

Registration No. 42,448

Tel: 703-415-0012

Fax: 703-415-0013

Email: general@Neifeld.com

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NEIFELD IP LAW REFERENCE FORM LIST OF REFERENCES CITED BY THE APPLICANT (Rev: 5/14/2003)	NEIFELD REF: X2YA0105UPCT-US	APPLICATION NO: 09/647,648
	FIRST NAMED INVENTOR: Anthony ANTHONY	
	FILING DATE: 11/17/2000	GROUP ART UNIT: 2827

Examiner Initials	Ref_Cite	Pub_Date	Pub_No	Inv_Name	Ref_Country	Ref_Title	"Of Record" Indicates Reference Cited in this, or a Priority Case
	F-001	3/2/2000	DE 198 57 043 C1	Reindl et al.	Germany		Of Record
	F-002	7/26/2000	EP1022751	Yoshida et al.	Europe		
	F-003	8/2/2000	EP1024507	Yoshida et al.	Europe		
	F-004	12/20/2000	EP10615305	Andrew et al.	Europe		
	F-005	10/11/2000	FR-12808135	De Daran et al.	France		
	F-006	11/1/1990	JP-02-267879	Tomoyuki	Japan		
	F-007	1/25/1991	JP-03-018112	Sakamoto	Japan		Of Record
	F-008	2/25/1994	JP-06-053048	Akira et al.	Japan		Of Record
	F-009	2/25/1994	JP-06-053049	Akira et al.	Japan		Of Record
	F-010	2/25/1994	JP-06-053075	Baakusu	Japan		Of Record
	F-011	2/25/1994	JP-06-053077	Masaru et al.	Japan		Of Record
	F-012	2/25/1994	JP-06-053078	Shimura et al.	Japan		Of Record
	F-013	3/25/1994	JP-06-084695	Akira et al.	Japan		Of Record
	F-014	5/31/1994	JP-06-151014	Ikematsu et al.	Japan		Of Record
	F-015	5/31/1994	JP-06-151244	Masaru et al.	Japan		Of Record
	F-016	5/31/1994	JP-06-151245	Masaru et al.	Japan		Of Record

	F-017	11/25/1994	JP-06-325977	Akira et al.	Japan		Of Record
	F-018	9/5/1995	JP-07-235406	Akira	Japan		Of Record
	F-019	9/5/1995	JP-07-235852	Akira	Japan		Of Record
	F-020	9/12/1995	JP-07-240651	Akira	Japan		Of Record
	F-021	5/17/1996	JP-08-124795	Akira	Japan		Of Record
	F-022	6/21/1996	JP-08-163122		Japan		
	F-023	7/2/1996	JP-08-172025	Akira et al.	Japan		Of Record
	F-024	8/6/1999	JP-11-214256	Yasuhiro et al.	Japan		Of Record
	F-025	8/17/1999	JP-11-223396		Japan		
	F-026	10/29/1999	JP-11-9294908		Japan		
	F-027	11/5/1999	JP-11-305302		Japan		
	F-028	11/24/1999	JP-11-9319222		Japan		
	F-029	12/14/1999	JP-11-9345273		Japan		
	F-030	8/6/1999	JP-11-214256	Yasuhiro et al.	Japan	Patent Abstracts of Japan	
	F-031	10/15/1998	WO 98/45921	Anthony	WO		
	F-032	4/22/1999	WO 99/19982	Goldberger et al.	WO		
	F-033	7/22/1999	WO 99/37008	Anthony	WO		
	F-034	10/14/1999	WO 99/52210	Anthony	WO		
	F-035	3/23/2000	WO 00/16446	Belau et al.	WO		Of Record
	F-036	11/2/2000	WO 00/65740	Anthony	WO		
	F-037	12/7/2000	WO 00/74197	Anthony et al.	WO		
	F-038	12/21/2000	WO 00/77907	Anthony	WO		
	F-039	2/8/2001	WO 01/10000	Anthony et al.	WO		

	F-040	6/7/2001	WO 01/41232	Meitav et al.	WO		
	F-041	6/7/2001	WO 01/41233	Meitav et al.	WO		
	F-042	6/21/2001	WO 01/45119	Tuo	WO		
	F-043	9/27/2001	WO 01/71908	Anthony et al.	WO		
	F-044	10/11/2001	WO 01/75916	Hayworth et al.	WO		
	F-045	11/8/2001	WO 01/84581	Anthony et al.	WO		
	F-046	11/15/2001	WO 01/86774	Anthony et al.	WO		
	F-047	2/7/2002	WO 02/11160	Wilson et al.	WO		
	F-048	2/21/2002	WO 02/15360	Anthony et al.	WO		
	F-049	4/4/2002	WO 02/122779 4	Li et al.	WO		
	F-050	1/8/2002	WO 02/59401	Anthony et al.	WO		
	F-051	8/22/2002	WO 02/65606	Anthony	WO		
	F-052	10/1/1997	JP-09- 284077	Makoto et al.	Japan		
	F-053	10/31/1997	JP-09- 284078	Makoto et al.	Japan		
	F-054	8/4/1999	EP093387 1	Williams, III	Europe		
	F-055	12/31/1998	FR- 2765417	Yun Tae	France		
	F-056	11/7/1988	JP-63- 269509	Hironori	Japan		
	F-057	1/7/1999	DE 197 28 692 A1	Pape	Germany		
	F-058	1/30/1989	JP 1- 27251	Koji	Japan		
	F-059	11/11/1997	JP 9- 294041		Japan		
	F-060	10/29/1997	JP 5- 283284		Japan		
	F-061	1/16/2003	WO 03/005541	Anthony et al.	WO		

	F-062	6/6/2002	WO 02/45233	Anthony	WO		
	F-063	4/25/2002	WO 02/33798	Anthony	WO		
	F-064	10/10/2002	WO 02/080330	Anthony et al.	WO		
	F-065	10/3/1991	WO 91/15046	Anthony	WO		
	F-066	10/1/1997	JP-09- 284077	Makoto et al.	Japan	Patent Abstracts of Japan	
	F-067	10/31/1997	JP-09- 7284078	Makoto et al.	Japan	Patent Abstracts of Japan	
	F-068	12/31/1998	FR- 82765417	Yun Tae	France	Abstract from esp@cen et Database	
	F-069	11/7/1988	JP-63- 269509	Hironori	Japan	Patent Abstracts of Japan	
	F-070	12/20/2000	EP106153 05	Andrew et al.	Europe	Abstract from esp@cen et Database	
	F-071	11/1/1990	JP-02- 267879	Tomoyuki	Japan	Patent Abstracts of Japan	
	F-072	3/23/2000	WO 00/16446	Belau et al.	WO	German Version of WO Publication	Of Record
	O-001	10/1/2002				PCT International Search Report for PCT/US01/48861	

	O-002	1/2/2003				PCT Internation al Search Report for PCT/US0 1/44681	
	O-003	1/1/1994				GREB, "An Intuitive Approach to EM Fields," EMC Test & Design, January 1991, pages. 30- 33.	
	O-004	12/1/1993				GREB, "An Intuitive Approach to EM Coupling," EMC Test & Design, December 1993, pages 20- 25.	

	O-005	6/1/1986				SAKAMO TO, "Noisepro of Power Supplies: What's Important in EMI Removal Filters?" JEE, June 1986, pages 80- 85.	
	O-006	1/1/1999				MONTRO SE, "Analysis on Loop Area Trace Radiated Emissions from Decouplin g Capacitor Placement on Printed Circuit Boards," IEEE, 1999, pages 423-428	

	O-007	1/1/1999				MIYOSHI, "Surface Mounted Distribute d Constant Type Noise Filter," IEEE, 1999, pages 157-160.	
	O-008	1/1/1999				SHIGETA et al., "Improved EMI Performan ce by Use of a Three- Terminal- Capacitor Applied to an IC Power Line," IEEE, 1999, pages 161-164.	
	O-009	7/19/1999				PCT Internation al Search Report for PCT/US9 9/07653	Of Record
	O-010	10/13/1999				IPER for PCT/US9 9/07653	Of Record

	O-011					US Appl. No 10/479,506, Claims 1-46 from Preliminar y Amendme nt filed December 10, 2003	
	O-012					US Appl. No 10/189,339, Claims 1-41 from Preliminar y Amendme nt filed October 28, 2003	
	O-013					US Appl. No 10/443,792, Claims 1-41 from Preliminar y Amendme nt filed October 28, 2003	
	O-014	8/19/1998				PCT Internation al Search Report for PCT/US9 8/06962	Of Record

	O-015	4/19/1999				PCT Internation al Search Report for PCT/US9 9/01040	Of Record
	O-016	9/18/2000				PCT Internation al Search Report for PCT/US0 0/11409	Of Record
	O-017	9/13/2000				PCT Internation al Search Report for PCT/US0 0/14626	Of Record
	O-018	11/8/2000				PCT Internation al Search Report for PCT/US0 0/16518	Of Record
	O-019	12/28/2000				PCT Internation al Search Report for PCT/US0 0/21178	

	O-020					FANG et al., "Conductive Polymers Prolong Circuit Life," Design News, date unknown, 3 pages.	
	O-021	9/1/1996				CARPENTER, Jr. et al., "A New Approach to TVSS Design," Power Quality Assurance, September/October 1996 p. 60-63.	
	O-022	1/1/1996				RAYCHEM, "Polyswitch Resettable Fuses," Circuit Protection Databook, January, 1996, pages 11-18.	

	O-023	12/28/2001				PCT International Search Report for PCT/US01/41720	
	O-024	6/13/2001				PCT International Search Report for PCT/US01/09185	
	O-025	7/1/2000				POLKA et al., "Package-Level Interconnect Design for Optimum Electrical Performance," Intel Technology Journal Q3, 2000, pp. 1-17.	
	O-026	5/10/2002				PCT International Search Report for PCT/US01/43418	
	O-027	3/13/2002				PCT International Search Report for PCT/US01/32480	

	O-028	8/19/2002				PCT Internation al Search Report for PCT/US0 2/10302	
	O-029	2/28/2003				PCT Internation al Search Report for PCT/US0 2/21238	
	O-030	3/18/2002				PCT Internation al Search Report for PCT/US0 1/13911	
	O-031	7/16/1991				PCT Internation al Search Report for PCT/US9 1/02150	
	O-032	6/28/2001				PCT Internation al Search Report for PCT/US0 1/03792	

	O-033	12/16/1998				"Johanson Dielectrics, Inc. Licenses X2Y Circuit Conditioning Technology," Press Release, December 16, 1998, 1 page.	
	O-034	3/1/1997				BEYNE et al., "PSGA - an innovative IC package for single and multichip designs," Components, March 1997, pages 6-9.	
	O-035	9/15/1997				"EMC Design for Brush Commutated DC Electric Motors," September 15, 1997, pages 1-2.	

	O-036	4/1/1996				"Tomorro w's Capacitor s," Compone nts, 1996, No. 4, page 3.	
	O-037	3/30/1998				MASON, "Valor - Understan ding Common Mode Noise," March 30, 1998, pages 1-7.	
	O-038			Anthony Anthony et al.		Pending specificati on, claims, figures for US Appl. No 10/237,07 9, Claims 21-81; filed 9/9/2002	
	O-039			David Anthony et al.		Pending specificati on, claims, figures for US Appl. No 10/766,00 0, Claims 1-63; filed 1/29/2004	

	O-040			William Anthony		Pending specification, claims, figures for US Appl. No 10/399,630, Claims 1-35; filed 8/27/2003	
	O-041			Anthony Anthony et al.		Pending specification, claims, figures for US Appl. No 10/432,840, Claims 1-39; filed 5/28/2003	
	O-042			William Anthony		Pending specification, claims, figures for US Appl. No 10/443,482, Claims 1-25; filed 6/12/2003	
	O-043			Anthony Anthony et al.		Pending specification, claims, figures for US Appl. No 10/435,199, Claims 1-32; filed 5/12/2003	

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XYZADIOSUPCT-US Filed 00/226

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3

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Application Number	09/647,648
Filing Date	10/03/2000
First Named Inventor	Anthony A. ANTHONY
Group Art Unit	5611
Examiner Name	Not Assigned
Attorney Docket Number	6521-3-1-PCT-US

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Examiner Initials ¹	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
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		Application Number	09/647,648
		Filing Date	10/03/2000
		First Named Inventor	Anthony A. ANTHONY
		Group Art Unit	5611
		Examiner Name	Not Assigned
Sheet 2	of 3	Attorney Docket Number	6521-3-1-PCT-US

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		Office ³	Number ⁴	Kind Code ² (if known)				
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Translations

(F-001)

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(F-035)

German front page


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Sheet 3

of 3

Application Number	09/647,648
Filing Date	10/03/2000
First Named Inventor	Anthony A. ANTHONY
Group Art Unit	5611
Examiner Name	Not Assigned
Attorney Docket Number	6521-3-1-PCT-US

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		Filing Date	10/03/2000
		First Named Inventor	Anthony A. ANTHONY
		Group Art Unit	5611
		Examiner Name	Not Assigned
Sheet 1	of 1	Attorney Docket Number	6521-3-1-PCT-US

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Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
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(40) XZYA0105UPCT-US Mailed 020214

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Application/Control No.

09/647,648

Applicant(s)/Patent Under
Reexamination
ANTHONY ET AL.

Examiner

Jeremy Norris

Art Unit

2827

Page 1 of 1

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	D	US-			
	E	US-			
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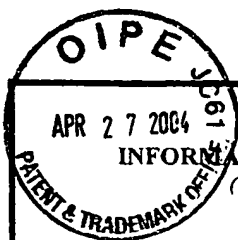
FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.



(41) x2 x ADIOSU-US Filed 980427

INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)	Docket Number (Optional) 6521-3	Application Number 09/056,436
	Applicant(s) Anthony A. Anthony	
	Filing Date April 7, 1998	Group Art Unit

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
U-016	AA	4688151	08/18/87	Kraus et al.	361	405	
U-028	AB	4814295	03/21/89	Mehta	437	209	
U-043	AC	5065284	11/12/91	Hernandez	361	414	
U-083	AD	5446625	08/29/95	Urbish et al.	361	761	
U-087	AE	5477933	12/26/95	Nguyen	174	262	
U-094	AF	5500785	03/19/96	Funada	361	720	
U-097	AG	5535101	07/09/96	Miles et al.	367	808	
U-104	AH	5586007	12/17/96	Funada	361	720	
U-109	AI	5640048	06/17/97	Selna	257	738	
U-269	AJ	35064	10/17/95	Hernandez	361	763	

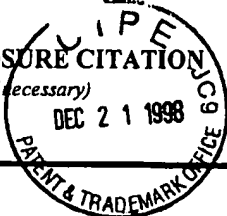
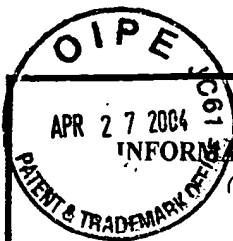
FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



(42) X2YA01050-US Filed 981221

Docket Number (Optional)

6521-3

Application Number

09/056,436

Applicant(s)

ANTHONY

Filing Date

APRIL 7, 1998

Group Art Unit

2833-2817

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
U-056 MB	AA	5, 186, 647	2-16-93	Denkmann et al.	439	395	
V-066	AB	5,299,956	4-5-94	Brownell et al.	439	638	
V-067	AC	5,310, 363	5-10-94	Brownell et al.	439	676	
V-071	AD	5,326,284	7-5-94	Bohbot et al.	439	676	
V-076	AE	5,362,254	11-8-94	Seimon et al.	439	536	
V-080	AF	5,414,393	5-9-95	Rose et al.	333	1	
V-082	AG	5,432,484	7-11-95	Klas et al.	333	1	
V-113 PB	AH	5,700,167	12-23-97	Pharney et al.	439	676	

FOREIGN PATENT DOCUMENTS

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

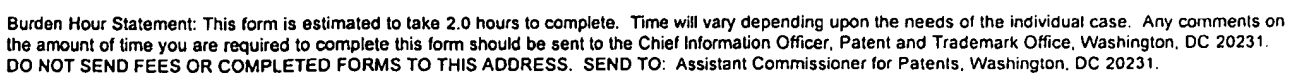
EXAMINER

Justin P. Bettendorf

DATE CONSIDERED

4-19-00

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Appl. for use through 10/31/99. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Collection of Information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/056,436
		Filing Date	04/07/1998
		First Named Inventor	ANTHONY A. ANTHONY
		Group Art Unit	2833
		Examiner Name	
Sheet 1	of 1	Attorney Docket Number	6521-3

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Examiner Signature	Justin P. Bettendorf	Date Considered	4-19-00
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*EXAMINER: Initial if reference considered. Examiners in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with Application to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.

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APR 27 2004

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#12 cont'd

PTO/SB/08B (10-96)

Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1	of	1
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Complete if Known

Application Number	09/056,436
Filing Date	04/07/1998
First Named Inventor	ANTHONY A. ANTHONY
Group Art Unit	2831 2817
Examiner Name	NOT ASSIGNED
Attorney Docket Number	6521-3

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

[illegible]

**Examiner
Signature**

Justin P. Bettendorf

Date
Considered

4-19-02

*EXAMINER: Initial If reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

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APR 27 2004

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v2YAD105U-US Filed 991115

PTO/SB/08A (10-96)

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Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Application Number	C9/056,436
		Filing Date	04/07/1998
		First Named Inventor	ANTHONY A. ANTHONY
		Group Art Unit	2831
		Examiner Name	SILVERIO, W.
Sheet 1	of 1	Attorney Docket Number	6521-3

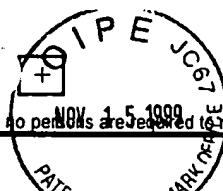
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Examiner Signature	Justin P. Bettendorf	Date Considered	4-18-00
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Under the Paperwork Reduction Act of 1995,

NOV. 15 1999

Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Complete if Known

Application Number	C9/056,436
Filing Date	04/07/1998
First Named Inventor	ANTHONY A. ANTHONY
Group Art Unit	2831
Examiner Name	SILVERIO, W.
Attorney Docket Number	6521-3

(use as many sheets as necessary)

Sheet	1	of	1
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**Examiner
Signature**

Date
Considered

4-19-02

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Complete if Known	
		Application Number	09/056,436
		Filing Date	04/07/1998
		First Named Inventor	Anthony A. Anthony
		Group Art Unit	2831 2817
		Examiner Name	Silverio, W.
Sheet	1	of	1
		Attorney Docket Number	6521-3

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

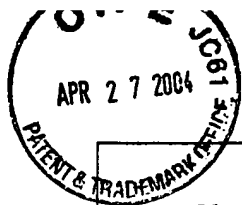
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Examiner Signature	Justin P. Bottorff	Date Considered	4-19-00
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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48 XZYA01050-US Mailed 000426 08103039

Notice of References Cited

Application No.
09/056,436

Applicant(s)

ANTHONY

Examiner
Justin P. Bettendorf

Group Art Unit
2817

Page 1 of 1

U.S. PATENT DOCUMENTS

	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
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FOREIGN PATENT DOCUMENTS

	DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUBCLASS
N	F-014 6-151014	05/1994	Japan	IKEMATSU	439	620
O	F-010 6-53075	2/1994	Japan	DAANARU	333	185
P	F-007 3-18112	5/1994	Japan	SAKAMOTO	333	185
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NON-PATENT DOCUMENTS

	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
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NEIFELD DOCKET NO: X2YA0010U/US

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

IN RE APPLICATIONS OF: Anthony

Examiner: JACKSON, S.

APPLICATION NO: 10/237,079

GAU: 2836

Filed: 9/9/2002

Title: Universal Energy Conditioning Interposer with Circuit Architecture
and relating to the following 24 applications:

Application No.	Application No.	Status	Title
09/647,648	X2YA0105UPCT-US	Allowed	Component Carrier
10/479,506	X2YA0025UPCT-US	pending	Arrangement for Energy
10/766,000	X2YA0013U-US	pending	Shielded Energy Conditioner
09/996,355	X2YA0125U-US	Pending	Energy pathway arrangement
10/023,467	X2YA0126U-US	Pending	Energy pathway arrangements
10/115,159	X2YA0021U-US	Pending	Offset pathway arrangements
10/189,338	X2YA0022U-US	Pending	Pathway arrangement
10/189,339	X2YA0023U-US	Pending	Arrangement for energy
10/237,079	X2YA0010U/US	Pending	Universal energy conditioning
10/328,942	X2YA0108U-US-C1	Pending	Paired Multi-Layered Dielectric
10/344,749	X2YA0119UPCT-US	Pending	An Electrode Arrangement for
10/399,590	X2YA0015UPCT-US	Pending	Amalgam of shielding and
10/399,630	X2YA0014UPCT-US	Pending	Energy Pathway Arrangements
10/432,840	X2YA0016UPCT-US	Pending	Energy Pathway Arrangements
10/433,482	X2YA0017UPCT-US	Pending	Energy Pathway Arrangements
10/435,199	X2YA0020U-US	Pending	Energy Conditioning Structure
10/443,764	X2YA0026U-US-C1	Pending	Paired Multi-Layered Dielectric
10/443,778	X2YA0029U-US-C2	Pending	Energy Conditioning Circuit
10/443,788	X2YA0028U-US-C2	Pending	Component Carrier
10/443,792	X2YA0027U-US-C1	Pending	Multi-Functional Energy
10/460,361	X2YA0032UUSC1	Pending	Predetermined symmetrically
10/705,962	X2YA0041U-US	Pending	COMPONENT CARRIER
09/632,048	X2YA0117U-US	Allowed	Universal Energy Conditioning
10/369,335	X2YA0100U-US-C4	Allowed	Polymer Fuse & Filter

TO: ASSISTANT COMMISSIONER FOR PATENTS

ALEXANDRIA, VA 22313

37 CFR 1.183 PETITION TO WAIVE PORTION OF THE IDS RULES

FILE A REDUCED SET OF REFERENCES

I. Statement of the Precise Relief Requested

The applicant requests that the Office waive the IDS rules to the extent of allowing the applicant to file a single paper photocopy of about 72 foreign patent publication references (FPats) and 82 non patent references (Os) with this petition instead of filing a single paper copy in each one of the 24 applications noted above. AKA a "reduced set" for non US patent literature.

II. Statement of Material Facts in Support of the Petition

0. The following 24 applications are owned by the same entity and, generally speaking, are directed to the same field of technology (relating to energy conditioning, surge protection, and noise suppression).

International Application	Application Number	Status	Title
09/647,648	X2YA0105UPCT-US	Allowed	Component Carrier
10/479,506	X2YA0025UPCT-US	pending	Arrangement for Energy
10/766,000	X2YA0013U-US	pending	Shielded Energy Conditioner
09/996,355	X2YA0125U-US	Pending	Energy pathway arrangement
10/023,467	X2YA0126U-US	Pending	Energy pathway arrangements
10/115,159	X2YA0021U-US	Pending	Offset pathway arrangements
10/189,338	X2YA0022U-US	Pending	Pathway arrangement
10/189,339	X2YA0023U-US	Pending	Arrangement for energy
10/237,079	X2YA0010U-US	Pending	Universal energy conditioning
10/328,942	X2YA0108U-US-C1	Pending	Paired Multi-Layered Dielectric
10/344,749	X2YA0119UPCT-US	Pending	An Electrode Arrangement for
10/399,590	X2YA0015UPCT-US	Pending	Amalgam of shielding and
10/399,630	X2YA0014UPCT-US	Pending	Energy Pathway Arrangements
10/432,840	X2YA0016UPCT-US	Pending	Energy Pathway Arrangements
10/433,482	X2YA0017UPCT-US	Pending	Energy Pathway Arrangements
10/435,199	X2YA0020U-US	Pending	Energy Conditioning Structure
10/443,764	X2YA0026U-US-C1	Pending	Paired Multi-Layered Dielectric
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10/443,788	X2YA0028U-US-C2	Pending	Component Carrier
10/443,792	X2YA0027U-US-C1	Pending	Multi-Functional Energy
10/460,361	X2YA0032UUSC1	Pending	Predetermined symmetrically
10/705,962	X2YA0041U-US	Pending	COMPONENT CARRIER
09/632,048	X2YA0117U-US	Allowed	Universal Energy Conditioning
10/369,335	X2YA0100U-US-C4	Allowed	Polymer Fuse & Filter

1. I was informally advised by the Petitions Office/Office of Legal Counsel that the PTO is NOT likely to agree to allow filing of a "reduced set" of USPs and PGPs because Office policy was to encourage use of the electronic IDS submission format for USPs and PGPs. I (and my

staff) are in the process of preparing e-IDS submissions for US patent and US patent publication portions of the IDSs to which this petition relates

2. I was informally advised by the Petitions Office/Office of Legal Counsel that the PTO would entertain a petition to allow filing of a "reduced set" of Fpats and Os if there was a suitable showing under 1.183.

3. The assignee of all of these applications transferred responsibility for prosecution to my firm, starting in the fall of 2003. Transfer of a large number of paper files (over 200 application files) followed. Transfer in and review took several months due to identification of inaccuracies in priority claims, inventorship, and issued patents, and corrections thereof in the PTO and other patenting offices around the world. That transfer in process is now substantially complete.

4. I noted that all of the client's patent applications are, generally speaking, in one field of technology; relating to energy conditioning, surge protection, and noise suppression.

5. During the transfer in process, I and my staff collated and assembled the prior art transferred to us along with the client's patent files from both U.S. and foreign prosecution files. I also noted certain additional references that came to our attention in relation to this client. As a result, I identified 339 USPs, 69 PGP, 72 Fpats and 82 Os relating to this technology.

6. USPs and PGPs may be relatively efficiently submitted to the Office in electronic IDS submissions. Fpats and Os cannot.

7. I noted that all of the client's patent applications are, generally speaking, in one field of technology; relating to energy conditioning, surge protection, and noise suppression. Therefore, references cited in one application are likely to be material to references cited in another application, even when there is no common priority claim.

8. Depending upon the application, either none or a relatively small number of the 408 US patent document references and 154 other references are cited in any given application. I understand that the reason for lack of citation relates to prior counsel's practice of citing in a U.S. application only those references cited in a corresponding foreign application and applications to which the subject U.S. application claims priority. My basis for this understanding was my review of original reference citations lists forwarded to me by prior counsel, because those lists were organized by what appeared to be attorney docket number family.

9. It would be a substantial burden to produce 24 paper copies of all or even a portion of all of these references. Specifically, the 72 Fpats and 82 Os relating to this technology consume about 6000 pages. 24 copies thereof would consume about 144,000 pages of paper, requiring between 24 and 48 standard 15 inch long cardboard boxes for proper storage. In addition, assuming \$0.05 per copy page, the cost of that production would be over \$7000.00.

10. I have not reviewed all of the Fpat and O references to make a determination of materiality under 37 CF 1.56. However, I have reviewed some of those references in the course of analyzing and preparing additional claims for pending X2Y U.S. and foreign applications, and I know that at least some of them are material. For example, I have reviewed the figures in reference cited as F-010. The drawings of F-010 appear to be material to many of the claims in many of the 24 U.S. applications noted above because the drawings disclose a similar structure. The reference cited as O-010 is a translation of F-010. O-010 is material because it explains the structure shown in the drawings in F-010. The reference cited as O-064 is a translation of the abstract of F-010. It is material for the same reason as O-010.

11. I have also reviewed the drawings in foreign language documents F-012, F-0124, F-015, and F016. I believe that each of these references discloses features that an examiner may consider material to claims in various ones of the noted 24 pending U.S. applications. I do not believe that any claim now pending is unpatentable over any of these references. However, I do believe I am under a duty under rule 56 to site these references. Most of the other Fpat and O references were cited in some other U.S. or foreign application corresponding to one of the U.S.

application noted above, or corresponding to a now issued or abandoned application in the same technology field, and therefore should be cited under rule 56 as possibly material.

12. I agree to file a copy of this petition along with a corresponding IDS in each application identified above upon filing that IDS.

13. If the decision on this petition so requires, I agree to file a copy of the decision on the petition in each application identified above in which a corresponding IDS is filed.

14. I intend to file a CD containing each of the noted references and the master list of references, along with each IDS filed for an application noted above, for the examiner's convenience.

14. Attached to the original of this petition (but not to each copy of the petition I subsequently file in any of the other applications) are the following items:

The IDS for attorney docket number X2YA0010U/US, which is application number 10/237,079, including:

1. Check for petition fee (\$130.00)
2. Transmittal Letter and Authorization to Charge Deposit Account (2 pages)
3. 37 CFR 1.97 Information Disclosure Statement
4. 37 CFR 1.98 Content of Information Disclosure Statement
5. List of References Cited by Applicant
6. Copies of Reference Citation Lists of Record in Priority Applications: (List numbered 5-8, 29-38, 51, 52, 57-60, 63, 64, 68-73, and 99)
7. CD Containing Copies of Every Reference Listed in Attached Reference Citation List; and Copies of Reference Citation Lists numbered 1-108 of record in various priority applications

III. Reasons Why the Relief Requested Should be Granted

37 CFR 1.183 allows the Director to waive rules in extraordinary situations where justice requires.

This situation is extraordinary due to the magnitude of the number of references (154), the number of cases in which they must be filed (currently 24), the number of copies in involved (about 144,000), and the needless cost (about \$7000.00) associated therewith. These references must be submitted because the applicant is under a rule 56 duty to do so. As noted in the facts section, at least some of these references are material, and the various examiners is likely to conclude that others are relevant upon examination of claims in these cases.

Justice requires the Director waive the rule because doing so will: reduce the PTO's own costs in duplicating the reference scan in process 24 times for the same 6000 pages of references and to enable the applicant to rapidly file the IDS submissions in each of up to 24 applications to comply with rule 56.

I note here that the rules are imposed by the Director to promote certain policy goals, such as valid patents and reduced burden on the PTO. Where, as here, the burden on the PTO in a particular situation will be reduced, and there are no competing interests, an extraordinary situation exists for which the Director has the discretion to hold that justice requires waiver, within the meaning of 37 CFR 1.183. Case law makes it clear that the Director must grant a 1.183 petition in certain circumstances, such as where rights will otherwise be lost. Cf. Helfgott v. Dickens 209 F.3d 1328, *; 2000 U.S. App. LEXIS 6922, **; 54 U.S.P.Q.2D (BNA) 1425 ("With Helfgott's 37 C.F.R. § 1.183 petition before him, the Commissioner was required to grant Helfgott the relief sought, which was to allow the correction of the errors in the Demand without loss of the October 21, 1996 filing date. Upon remand, we leave it to the Commissioner's sound discretion to determine which procedural route is best traveled to secure this result.") This case does not involve loss of substantive exclusive rights, as in Helfgott. However, the Director certainly has discretion to determine that justice requires action when that action is in the PTO's and the applicant's patent processing cost related interests to do so.

I should also point out that several (5) of the 24 applications noted recently received office actions, and it is likely that many of the others will receive office actions in the next two

months; prompt filing of the IDSs, which will be facilitated by grant of this petition, will avoid delay and work in examination of those applications. Thus, granting the petition may speed up submission and consideration of IDS material by the examiners, thereby resulting in more rapid issuance of patents, preventing loss of right to a portion of that patent term.

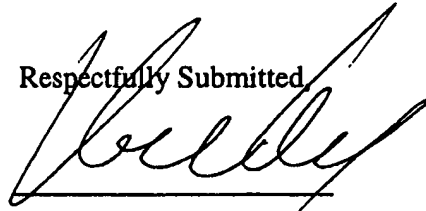
Generally speaking, granting the petition will reduce the burden on the PTO and the applicant in properly submitting the references in each patent application.

VII. Closure

Should the petitions examiner have any questions, he is urged to contact the undersigned at 703-415-0012 ext. 21.

4/21/04
Date

Respectfully Submitted,



Richard A. Neifeld, Ph.D.
Registration No. 35,299
Attorneys of Record

31518

PATENT TRADEMARK OFFICE

Enclosures:

Printed: April 21, 2004 (4:15pm)

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NEIFELD IP LAW, P.C.
2001 Jefferson Davis Highway
Suite 1001, Crystal Plaza 1
Arlington, VA 22202

Tel: 703-415-0012
Fax: 703-415-0013
Email: rneifeld@Neifeld.com
Web: www.Neifeld.com

THIS IS A FILING RECEIPT

Neifeld IP Law Docket No. X2YA0010U/US
Application Serial No.: 10/237,079
Filed: 09/09/2002
Inventor: ANTHONY ET AL.
Title: UNIVERSAL ENERGY CONDITIONING INTERPOSER
WITH CIRCUIT ARCHITECTURE

**THE FOLLOWING HAS BEEN RECEIVED IN THE U.S. PATENT OFFICE ON
THE DATE STAMPED HEREON:**

1. Check for \$130.00 (Petition fee) ✓
2. 37 CFR 1.183 Petition to File a Reduced Set of References (Regarding References cited as F-001 to F-072 and O-001 to O-082) ✓
3. Transmittal Letter and Authorization to Charge Deposit Account (2 pages) ✓
4. 37 CFR 1.97 Information Disclosure Statement ✓
5. 37 CFR 1.98 Content of Information Disclosure Statement ✓
6. List of References Cited by Applicant ✓
7. Copies of Reference Citation Lists of Record in Priority Applications: (List numbered 5-8, 29-38, 51, 52, 57-60, 63, 64-68-73, and 99)
8. CD Containing Copies of Every Reference Listed in Attached Reference Citation List, and Copies of Reference Citation Lists numbered 1-108 of record in various priority applications
9. Copies of References F-001 to F-072 and O-001 to O-082

Printed: April 22, 2004 (2:07pm)

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